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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/823,293	04/13/2004	Sridhar Varadarajan	4544-043892	4553

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Richard L. Byrne  
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EXAMINER

CABUCOS, MARIE G

ART UNIT	PAPER NUMBER
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2163

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PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	Application No. 10/823,293	Applicant(s) VARADARAJAN ET AL.	
	Examiner Marie Antoinette Cabucos	Art Unit 2163	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 4/13/2004 and amendment filed 2/23/2007.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1 and 7-10 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 and 7-10 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 13 April 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1 and 7-10 are rejected under 35 U.S.C. 102(b) as being unpatentable over Irons et al (US Patent no. 6,427,032)

Regarding claim 1, Iron discloses in figures 1, 2 and 8 a system for automatic indexing and archiving of a plurality of paper documents in both hard and soft forms, said system comprising: a log management subsystem for managing a plurality of accesses to said system (figure 2, reference 220); a version management subsystem for managing a plurality of versions of a paper document (figures 8 and 9; col. 12, lines 3-47); a consistency verification subsystem for managing consistency of archived paper documents (figures 2, references 227 and 228); and a cover page analysis subsystem for analyzing cover page of a paper document (figures 12-15, audit/action mechanism).

3. Regarding claim 7, Iron discloses in figures 8 and 9 a system for managing documents wherein said log management subsystem comprises means for managing access logs comprising tracking of scanner usage, tracking of vault usage, tracking of printer usage, tracking of a plurality of paper document accesses, tracking of a plurality of folder accesses (labeling mechanism), and logging of usage information containing timestamp, user identifier, scanner identifier, bin identifier, printer identifier, eject bin

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identifier, folder identifier, and document identifier (col. 4, lines 18-61; figures 5 and 6, tags).

4. Regarding claim 8, Iron discloses in figures 12-15 wherein said version management subsystem comprises means for managing a plurality of versions of a paper document comprising scanning of a cover page with a pre-defined format of said paper document, analyzing of an image of said cover page, identification of "Version" field of said pre-defined format in said image, identification of an image segment following "Version" field of said pre-defined format in said image, recognizing of a plurality of characters in said image segment, determination of a document version number of said paper document based on said plurality of characters, determination of a folder corresponding to said paper document, obtaining of a folder version number of said folder, and creation of a new folder based on said document version and said folder version (col. 25, lines 41-54; col. 30, lines 23-41; col. 31, lines 12-26).

5. Regarding claim 9, Iron discloses in figures 12-15 a system for managing documents wherein said consistency verification subsystem comprises means for managing consistency between a paper document stored in a vault and a folder stored in a database comprising comparison of document details in said paper document and said folder, comparison of creation details in said paper document and said folder, comparison of submission history in said paper document and said folder, pre-processing of a document page image of a page of said paper document, pre-processing of a folder page image of a page of said folder, wherein said folder page image corresponds with said document page image, comparison of said document page

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image and said folder page image, and comparison of image of each of plurality of pages of said paper document with image of corresponding page of a plurality of pages of said folder (col. 25, lines 41-54).

6. Regarding claim 10, Iron discloses in figures 12-15 a system for managing documents wherein said cover page analysis subsystem comprises means for analyzing a cover page in a pre-defined format of a paper document comprising obtaining of a plurality of field names in said pre-defined format, obtaining of a plurality of image segments, wherein each of said plurality of image segments follows a field name of said plurality of field names in said paper document, recognition of a plurality of characters in each of said plurality of image segments, and extraction of signature image based on signature field in said pre-defined format in said paper document (col. 25, lines 41-54; col. 30, lines 23-41; col. 31, lines 12-26).

***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1 and 7-10 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gerald Altman (US Patent no. 6,456,747) in view of LeBrun et al (US Patent no. 6,043,819).

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Regarding claims 1 and 7, Altman discloses in figures 11, 14 and 14a a system for automatic indexing and archiving of a plurality of paper documents in both hard and soft forms, said system comprising: a log management subsystem for managing a plurality of accesses to said system and wherein said log management subsystem comprises means for managing access logs comprising tracking of scanner usage, tracking of vault usage, tracking of printer usage, tracking of a plurality of paper document accesses, tracking of a plurality of folder accesses, and logging of usage information containing timestamp, user identifier, scanner identifier, bin identifier, printer identifier, eject bin identifier, folder identifier, and document identifier (col. 7, lines 42-67; col. 8, lines 19-30; col. 9, lines 22-51). Altman does not disclose an access management subsystem, a version management subsystem, a consistency verification subsystem; and a cover page analysis subsystem but is disclose in LeBrun.

9. LeBrun discloses in figures 1 and 3-6 an information management system comprising: a version management subsystem for managing a plurality of versions of a paper document (figure 1B, control computer); a consistency verification subsystem for managing consistency of archived paper documents (figure 3, references 88, 90, 94, 96, 98, 100) ; and a cover page analysis subsystem for analyzing cover page of a paper document (abstract). It would have been obvious by one having ordinary skill in the art, at the time of the invention, to use the information management system disclosed in LeBrun in the system of Altman so as to have the system electronically carve and read specific data fields automatically (col. 2, lines 57-66).

**10.** Regarding claim 8, LeBrun discloses in figures 1 and 3-6 an information management system wherein said version management subsystem comprises means for managing a plurality of versions of a paper document comprising scanning of a cover page with a pre-defined format of said paper document, analyzing of an image of said cover page, identification of "Version" field of said pre-defined format in said image, identification of an image segment following "Version" field of said pre-defined format in said image, recognizing of a plurality of characters in said image segment, determination of a document version number of said paper document based on said plurality of characters, determination of a folder corresponding to said paper document, obtaining of a folder version number of said folder, and creation of a new folder based on said document version and said folder version (figure 1B, control computer).

**11.** Regarding claim 9, LeBrun discloses in figures 1 and 3-6 an information management system wherein said consistency verification subsystem comprises means for managing consistency between a paper document stored in a vault and a folder stored in a database comprising comparison of document details in said paper document and said folder, comparison of creation details in said paper document and said folder, comparison of submission history in said paper document and said folder, pre-processing of a document page image of a page of said paper document, pre-processing of a folder page image of a page of said folder, wherein said folder page image corresponds with said document page image, comparison of said document page image and said folder page image, and comparison of image of each of plurality of

pages of said paper document with image of corresponding page of a plurality of pages of said folder (col. 17, lines 14-37).

**12.** Regarding claim 10, LeBrun discloses in figures 1 and 3-6 an information management system wherein said cover page analysis subsystem comprises means for analyzing a cover page in a pre-defined format of a paper document comprising obtaining of a plurality of field names in said pre-defined format, obtaining of a plurality of image segments, wherein each of said plurality of image segments follows a field name of said plurality of field names in said paper document, recognition of a plurality of characters in each of said plurality of image segments, and extraction of signature image based on signature field in said pre-defined format in said paper document (col. 2, lines 57-67 to col. 3, lines 1-13).

### ***Response to Arguments***

Applicant's arguments with respect to claims 1 and 7-10 have been considered but are moot in view of the new ground(s) of rejection.

### ***Inquiry***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marie Antoinette Cabucos whose telephone number is 571-272-8582. The examiner can normally be reached on 8:30-5:00.

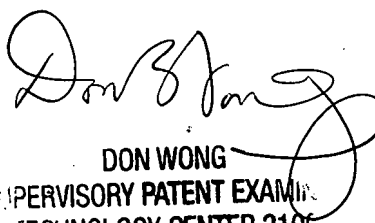


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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Don K. Wong can be reached on (571) 272-1834. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Marie Antoinette Cabucos  
Examiner  
Art Unit 2163

  
DON WONG  
SUPERVISORY PATENT EXAMINER  
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